

**U.S. Department of Education
Office of Educational Research and Improvement
Washington, DC 20208-5645**

**Fund for the Improvement of Education (FIE):
Partnerships in Character Education Program**

CFDA Numbers:

84.215V—State Educational Agencies

84.215S—Local Educational Agencies

Deadline for Transmittal of Applications: July 11, 2002

Approved OMB Number 1850-0637
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Paperwork Burden Statement

According to the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless such collection displays a valid OMB control number. The valid OMB control number for this information collection is 1850-0637. The time required to complete this information collection is estimated to average 24 hours per response, including the time to review instructions, search existing data resources, gather the data needed, and complete and review the information collection. **If you have any comments concerning the accuracy of the time estimate(s) or suggestions for improving this form, please write to:** U.S. Department of Education, Washington, D.C. 20202-4651. **If you have comments or concerns regarding the status of your individual submission of this form, write directly to:** Patricia Knight, U.S. Department of Education, 555 New Jersey Avenue, NW, Washington, D.C. 20208.

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**The Fund for the Improvement of Education (FIE):
Partnerships in Character Education Program Competition for
Grants—FY 2002**

The Department of Education recently published its Strategic Plan: 2002 to 2007. In introducing this Plan, Secretary Paige stated:

In the midst of some of the greatest challenges it has ever faced the nation's leaders have kept a focus on what matters most: our children. They worked together in a bipartisan spirit and passed the most fundamental reform of federal education policy in over 35 years: the "No Child Left Behind Act."

Now it is up to the U.S. Department of Education—in partnership with states, local communities, parents, teachers, and others—to implement this law, and to ensure that its principles guide everything we do. This strategic plan provides the roadmap.

Goal Three of the Plan is to "Develop Safe Schools and Strong Character."

About this goal, President George W. Bush has said: "Teaching is more than training, and learning is more than literacy. Our children must be educated in reading and writing—but also in right and wrong." President Bush also quoted Martin Luther King, Jr., who said, "Intelligence plus character—that is the true goal of education."

The FIE: Partnerships in Character Education Program, as authorized under the No Child Left Behind Act, supports character education projects that are integrated into regular classroom instruction, are consistent with State academic content Standards, and are consistent with other educational reforms. Projects supported under this program should help students develop good character by teaching them caring, civic virtue and citizenship, justice and fairness, respect, responsibility, trustworthiness, giving, or other elements of character.

[INSERT FEDERAL REGISTER NOTICE HERE]

HOW DO I APPLY?

Carefully read the entire application package and the authorizing legislation that is included as Appendix I before beginning to prepare an application.

Each application should include:

- 1. Title Page.** Use the Title Page form (ED Form 424) included in this application package.
- 2. Table of Contents.** Include a one-page table of contents.
- 3. Abstract.** Include a one-page abstract (double-spaced) describing the project. Please include the name of your organization and the name of the project on the abstract. Please include the goals, expected outcomes and contributions for research, policy or practice, etc. Include population to be served and estimated number of students to be served.
- 4. Narrative.** We strongly encourage you to keep the narrative section of the application to 25 double-spaced pages or less. Please see the “Page Limits” section of the *Federal Register* notice inviting applications under this competition. Please number the pages.

The narrative is where you, the applicant, address the selection criteria and competitive preference priority that reviewers use to evaluate your application. In e-APPLICATION, the response to each selection criteria as well as the competitive preference priority is uploaded separately, but the total number of narrative pages should not exceed the equivalent of 25 printed double-spaced pages. Please see the “Selection Criteria” and the “Priority” sections of the *Federal Register* notice.

- 5. Budget** Use the Budget Summary form (ED Form 524—included in this application package), or a suitable facsimile, to present a complete budget summary for each year of the project. Please provide, **for each year, a budget narrative** that supports the expenditures listed on the Budget Summary Form.

The project period may be up to 48 months, of which no more than 12 months may be used for planning and program design.

Please include project staff travel funds for one trip to Washington, DC, each year of the project for a FIE: Partnerships in Character Education Projects Directors meeting. Each trip will be for two days for two persons.

If you are a State educational agency remember that your total budget for the entire project period must be a minimum of \$500,000 or your application will be rejected.

If you are a State educational agency remember that you may use no more than 3 percent of the grant funds for administrative purposes.

6. Assurances, Certifications and Required Statements. Prepare and sign each of the following required forms:

- SF 424B: Assurances—Non-Construction Programs
- ED 80-0013—Certification Regarding Lobbying, Debarment, Suspension and other Responsibility Matters; and Drug-Free Workplace
- GEPA 427 Statement

The following forms should be submitted if they apply to your project:

- SF-LLL—Disclosure of Lobbying Activities. If your organization pays an individual or organization to lobby for you (see instructions on this form for definition of “lobbying”), you must complete this form. Note, that according to ED 80-0013 cited above, no funds from this grant may be used to pay for lobbying activities.
- ED 80-0014—Certification Regarding, Debarment, Suspension, Ineligibility and Voluntary Exclusion—Lower Tier Covered Transactions. This form is for the grantee to use if you plan to pay contractors (lower tier) from you grant.

7. Appendices. Each application should be accompanied by appendices that include:

- a. Project Personnel.** Please provide a brief summary of the background and experience of key project staff as they relate to specific project activities you are proposing.

b. List of Partners. List all project partners and other sources of support (if any), their contact persons, addresses, telephone numbers, Fax numbers, and E-mail addresses. The roles and contributions of all partners and other sources of support should be described within the narrative.

Parity Guidelines between Paper and Electronic Applications (All applicants should read)

In FY 2002, the U.S. Department of Education is continuing to expand the pilot project, which began in FY 2000, which allows applicants to use an Internet-based electronic system for submitting applications. The system, called e-APPLICATION, formerly e-GAPS (Electronic Grant Application System), allows an applicant to submit a grant application electronically, using a current version of the applicant's Internet browser. To see e-APPLICATION visit the following address:

<http://e-grants.ed.gov>

Users of e-APPLICATION, a data driven system, will be entering data on-line while completing their applications. This will be more interactive than just e-mailing a soft copy of a grant application to us. If you participate in this pilot project by submitting an application electronically, the data you enter on-line will go into a database and ultimately will be accessible in electronic form to our reviewers.

This pilot project continues the Department's transition to an electronic grant award process. In addition to e-APPLICATION, the Department plans to expand the number of discretionary programs using the electronic peer review (e-READER) system and to increase the participation of discretionary programs offering grantees the use of the electronic annual performance reporting (e-REPORTS) system.

To help ensure parity and a similar look between electronic and paper copies of grant applications, we are asking each applicant that submits a paper application to adhere to the following guidelines:

- Submit your application on 8 1/2" by 11" paper.
- Leave a 1-inch margin on all sides.
- Use consistent font throughout your document. You may also use boldface type, underlining, and italics. However, please do not use colored text.
- Please use black and white, also, for illustrations, including charts, tables, graphs and pictures.
- For the narrative component, your application should consist of the number and text of each selection criterion followed by the narrative.

The text of the selection criterion, if included, does not count against any page limitation.

- Place a page number at the bottom right of each page beginning with 1; and number your pages consecutively throughout your document.

AVAILABILITY OF FORMS AND STATEMENT

The following forms and instructions are available in your application package under Appendix III. You can access all of the forms on-line (except as noted) at:

<http://www.ed.gov/offices/OCFO/grants/appforms.html>

The following forms and statements are required for each application:

- Title Page Form – Application for Federal Education Assistance (ED 424) and Instructions. Two different versions of this form are included in the paper copy of this application package. The information for Item # 4 and Item #8 has been completed.
 - One form is for SEAs (84.215V on Item #4); and
 - One form is for LEAs (84.215S on Item #4):Please make sure your use the correct form for the type of institution that is applying.
- Budget Information Form – Non-Construction Programs (ED 524) and Instructions
- Assurances-Non-Construction Programs (Standard Form 424B)
- Certification Regarding Lobbying; Debarment, Suspension, and Other Responsibility Matters; and Drug-Free Work-Place Requirements (ED Form 80-0013)
- Statement of Equitable Access and Participation. Section 427 of the General Education Provision Act (GEPA 427). See instructions in this application package. NOTE: These instructions are included in the application package and are available on-line at:
<http://www.ed.gov/offices/OCFO/grants/gposbul/gpos10.html>

The following forms are to be used if applicable:

- Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion–Lower Tier Covered Transactions (ED Form 80-0014).
- Disclosure of Lobbying Activities (Standard Form LLL)

INSTRUCTIONS FOR TRANSMITTING APPLICATIONS

(These directions are applicable if you do not choose to submit your application electronically using e-APPLICATION. Instructions to submit applications electronically using e-APPLICATION are contained in the Federal Register Notice. e-APPLICATIONS must be transmitted by 4:30 p.m., Washington, DC, time on July 11, 2002.)

If you want to apply for a grant and be considered for funding, you must meet the following deadline requirements:

If You Send Your Application by Mail

You must mail the original and two copies of the application **on or before July 11, 2002** to:

**U.S. Department of Education
Application Control Center
Attention: CFDA # 84.215V (for SEAs) or 84.215S (for LEAs)
7th & D Streets, SW
Room 3633
Washington, DC 20202-4725**

You must show one of the following as proof of mailing:

- (1) A legibly dated U.S. Postal Service postmark.
- (2) A legible mail receipt with the date of mailing stamped by the U.S. Postal Service.
- (3) A dated shipping label, invoice, or receipt from a commercial carrier.
- (4) Any other proof of mailing acceptable to the Secretary.

If you mail an application through the U.S. Postal Service, we do not accept either of the following as proof of mailing:

- (1) A private metered postmark.
- (2) A mail receipt that is not dated by the U.S. Postal Service.

An applicant should note that the U.S. Postal Service does not uniformly provide a dated postmark. Before relying on this method, an applicant should check with its local post office.

Special Note: Due to recent disruptions to normal mail delivery, the Department encourages you to consider using an alternative delivery method (for example, a commercial carrier, such as Federal Express or United Parcel Service; U.S. Postal Express Mail; or a courier service) to transmit your application for this competition to the Department. If you use an alternative delivery method, please obtain the

appropriate proof of mailing under “Application Sent by Mail,” then follow the instructions for “Applications Delivered by Hand.”

Applications Delivered by Hand

You or your courier must hand deliver the original and two copies of the application by 4:30 p.m. (Washington, DC time) on or before the deadline date. To help expedite our review of your application, we would appreciate your voluntarily including an additional three (3) copies of your application.

U.S. Department of Education
Application Control Center
Attention: CFDA # 84.215V (SEAs) or 84.215S (LEAs)
7th and D Streets, SW
ROB-3, Room 3633
Washington, DC 20202-4725

The Application Control Center accepts application deliveries daily between 8:00 a.m. and 4:30 p.m. (Washington, DC time), except Saturdays, Sundays, and Federal holidays. The Center accepts application deliveries through the D Street entrance only. A person delivering an application must show identification to enter the building.

Notes

(1) If you send your application by mail or if you or your courier delivers it by hand, the Application Control Center will mail a Grant Application Receipt Acknowledgment to you. If you do not receive the notification of application receipt within 15 days from the date of mailing the application, you should call the U.S. Department of Education Application Control Center at (202) 708-9493.

(3) If your application is late, we will notify you that we will not consider the application.

(4) You must indicate on the envelope and in Item 4 of the Application for Federal Education Assistance (ED Form 424) the CFDA number and suffix letter of the competition under which you are submitting your application (84.215V for SEAs or 84.215S for LEAs).

Application Checklist

Does your application include each of the following?

- [] Title Page Form (ED 424) (with original signature and dates)**
- [] Table of Contents**
- [] Abstract**
- [] Narrative (respond to selection criteria, and if you choose, the competitive preference priority)**
- [] Budget Summary Form (ED 524) and Budget Narrative**
- [] Appendix**
 - a. Project Personnel**
 - b. List of Partners**
- [] Statement of Equitable Access (GEPA 427 Statement)**
- [] Assurances and Certifications (If you are mailing or hand delivering the application, these form must have original signatures and dates.)**

If you applied by mail, did you --

- [] Provide one (1) original plus two (2) copies of the application? In order to provide reviewers with appropriate copies, we are asking that you voluntarily submit an additional two (2) copies.**

If you are participating in e-APPLICATION, did you –

- [] Print the Title Page (ED 424), have the Authorizing Representative sign it, place the PR/Award number in the upper right corner, and fax it to 202-260-1349?**

**IMPORTANT NOTICE TO PROSPECTIVE PARTICIPANTS
IN U.S. DEPARTMENT OF EDUCATION
GRANT AND CONTRACT PROGRAMS**

GRANTS

Applicants for grants from the U.S. Department of Education (ED) have to compete for limited funds. Deadlines assure all applicants that they will be treated fairly and equally, without last minute haste. For these reasons, ED must set strict deadlines for grant applications. Prospective applicants can avoid disappointment if they understand that:

Failure to meet a deadline will mean that an applicant will be rejected without any consideration.

The rules, including the deadline, for applying for each grant are published, individually, in the Federal Register. A one-year subscription to the Register may be obtained by sending \$555.00 to: Superintendent of Documents, U.S. Government Printing Office, Washington, DC 20402-9371. (Send check or money order only, no cash or stamps.) In addition, the Federal Register is available on-line for free on Government Printing Office (GPO) Access: <http://www.access.gpo.gov/nara>. Depository Library location and Federal Register services:

<http://www.nara.gov/fedreg>

The instructions in the Federal Register must be followed exactly. Do not accept any other advice you may receive. No ED employee is authorized to extend any deadline published in the Register. No ED employees are authorized to extend any deadline published in the Federal Register. Questions regarding submission of applications may be addressed to:

U.S. Department of Education
Application Control Center
Washington, DC 20202-4725

CONTRACTS

Competitive procurement actions undertaken by the ED are governed by the Federal Acquisition Regulations and implementing Department of Education Acquisition Regulations.

Generally, prospective competitive procurement actions are synopsisized in the Commerce Business Daily (CBD). Prospective offerors are therein advised of the nature of the procurement and where to apply for copies of the Request for Proposals (RFP). All of ED's RFP's are now available on-line for downloading at the following url:
<http://www.ed.gov/offices/ocfo/contracts/currrfp.html>.

Offerors are advised to be guided solely by the contents of the CBD synopsis and the instructions contained in the RFP. Questions regarding the submission of offers should

be addressed to the Contracts Specialist identified on the face page of the RFP. Offers are judged in competition with others, and failure to conform with any substantive requirements of the RFP will result in rejection of the offer without any consideration whatever.

Do not accept any advice you receive that is contrary to instructions contained in either the CBD synopsis or the RFP. No ED employee is authorized to consider a proposal which is non-responsive to the RFP. A subscription to the CBD is available for \$208.00 per year via second class mailing or \$261.00 per year via first class mailing. Information included in the Federal Acquisition Regulation is contained in Title 48, Code of Federal Regulations, Chapter 1 (\$49.00). The foregoing publication may be obtained by sending your check or money order only, no cash or stamps, to:

Superintendent of Documents
U.S. Government Printing Office
Washington, DC 20402-9371

In addition, the Commerce Business Daily is available on-line for free at the following url: <http://cbdnet.access.gpo.gov/>. The Federal Acquisition Regulations are available on-line at the following url: <http://www.arnet.gov/far/>. In an effort to be certain this important information is widely disseminated, this notice is being included in all ED mail to the public. You may therefore, receive more than one notice. If you do, we apologize for any annoyance it may cause you.

ED FORM 5348, 7/01

APPENDIX I—AUTHORIZING LEGISLATION

The Elementary and Secondary Education Act of 1965 as amended by the No Child Left Behind Act of 2001 (P.L. 107-110)

Title V, Part D, Subpart 3, Sec. 5431--Partnerships in Character Education Program.

(a) PROGRAM AUTHORIZED-

(1) **IN GENERAL-** The Secretary is authorized to award grants to eligible entities for the design and implementation of character education programs that —

(A) are able to be integrated into classroom instruction and to be consistent with State academic content standards; and

(B) are able to be carried out in conjunction with other educational reform efforts.

(2) **ELIGIBLE ENTITY-** In this section, the term eligible entity' means —

(A) a State educational agency in partnership with —

(i) one or more local educational agencies; or

(ii) one or more —

(I) local educational agencies; and

(II) nonprofit organizations or entities, including an institution of higher education;

(B) a local educational agency or consortium of local educational agencies; or

(C) a local educational agency in partnership with one or more nonprofit organizations or entities, including an institution of higher education.

(3) **DURATION-** Each grant under this section shall be awarded for a period not to exceed 5 years, of which the eligible entity may not use more than 1 year for planning and program design.

(4) **AMOUNT OF GRANTS FOR STATE EDUCATIONAL AGENCIES-**

Subject to the availability of appropriations, the amount of a grant made by the Secretary to a State educational agency under this section shall not be less than \$500,000 if the State educational agency —

(A) is in a partnership described in paragraph (2)(A); and

(B) meets such requirements as the Secretary may establish under this section.

(b) CONTRACTS UNDER PROGRAM-

(1) **EVALUATION-** Each eligible entity awarded a grant under this section may contract with outside sources, including institutions of higher education and private and nonprofit organizations, for the purposes of —

(A) evaluating the program for which the assistance is made available;

(B) measuring the integration of such program into the curriculum and teaching methods of schools where the program is carried out; and

(C) measuring the success of such program in fostering the elements of character selected by the recipient under subsection (c).

(2) MATERIALS AND PROGRAM DEVELOPMENT- Each eligible entity awarded a grant under this section may contract with outside sources, including institutions of higher education and private and nonprofit organizations, for assistance in —

- (A) developing secular curricula, materials, teacher training, and other activities related to character education; and
- (B) integrating secular character education into the curricula and teaching methods of schools where the program is carried out.

(c) ELEMENTS OF CHARACTER-

(1) SELECTION-

(A) IN GENERAL- Each eligible entity awarded a grant under this section may select the elements of character that will be taught under the program for which the grant was awarded.

(B) CONSIDERATION OF VIEWS- In selecting elements of character under subparagraph (A), the eligible entity shall consider the views of the parents of the students to be taught under the program and the views of the students.

(2) EXAMPLE ELEMENTS- Elements of character selected under this subsection may include any of the following:

- (A) Caring.
- (B) Civic virtue and citizenship.
- (C) Justice and fairness.
- (D) Respect.
- (E) Responsibility.
- (F) Trustworthiness.
- (G) Giving.
- (H) Any other elements deemed appropriate by the eligible entity.

(d) USE OF FUNDS BY STATE EDUCATIONAL AGENCY RECIPIENTS- Of the total funds received in any fiscal year under this section by an eligible entity that is a State educational agency —

- (1) not more than 3 percent of such funds may be used for administrative purposes; and
- (2) the remainder of such funds may be used for —
 - (A) collaborative initiatives with and between local educational agencies and schools;
 - (B) the preparation or purchase of materials, and teacher training;
 - (C) providing assistance to local educational agencies, schools, or institutions of higher education; and
 - (D) technical assistance and evaluation.

(e) APPLICATION-

(1) IN GENERAL- Each eligible entity desiring a grant under this section shall submit an application to the Secretary at such time and in such manner as the Secretary may require.

(2) REQUIRED INFORMATION- Each application for a grant under this section shall include (together with any other information that the Secretary may require) information that —

(A) demonstrates that the program for which the grant is sought has clear objectives that are based on scientifically based research;

(B) describes any partnerships or collaborative efforts among the organizations and entities of the eligible entity;

(C) describes the activities that will be carried out with the grant funds and how such activities will meet the objectives described in subparagraph

(A), including —

(i) how parents, students, students with disabilities (including those with mental or physical disabilities), and other members of the community, including members of private and nonprofit organizations, will be involved in the design and implementation of the program and how the eligible entity will work with the larger community to increase the reach and promise of the program;

(ii) curriculum and instructional practices that will be used or developed; and

(iii) methods of teacher training and parent education that will be used or developed;

(D) describes how the program for which the grant is sought will be linked to other efforts to improve academic achievement, including —

(i) broader educational reforms that are being instituted by the eligible entity or its partners; and

(ii) State academic content standards;

(E) in the case of an eligible entity that is a State educational agency, describes how the State educational agency —

(i) will provide technical and professional assistance to its local educational agency partners in the development and implementation of character education programs; and

(ii) will assist other interested local educational agencies that are not members of the original partnership in designing and establishing character education programs;

(F) describes how the eligible entity will evaluate the success of its program —

(i) based on the objectives described in subparagraph (A); and

(ii) in cooperation with any national evaluation conducted pursuant to subsection (h)(2)(B)(iii); and

(G) assures that the eligible entity annually will provide to the Secretary such information as may be required to determine the effectiveness of the program.

(f) SELECTION OF RECIPIENTS-

(1) PEER REVIEW-

(A) IN GENERAL- In selecting eligible entities to receive grants under this section from among the applicants for such grants, the Secretary shall use a peer review process that includes the participation of experts in the field of character education and development.

(B) USE OF FUNDS- The Secretary may use funds appropriated under this section for the cost of carrying out peer reviews under this paragraph.

(2) SELECTION CRITERIA- Each selection under paragraph (1) shall be made on the basis of the quality of the application submitted, taking into consideration such factors as —

(A) the extent to which the program fosters character in students and the potential for improved student academic achievement;

(B) the extent and ongoing nature of parental, student, and community involvement;

(C) the quality of the plan for measuring and assessing success; and

(D) the likelihood that the objectives of the program will be achieved.

(3) EQUITABLE DISTRIBUTION- In making selections under this subsection, the Secretary shall ensure, to the extent practicable under paragraph (2), that the programs assisted under this section are equitably distributed among the geographic regions of the United States, and among urban, suburban, and rural areas.

(g) PARTICIPATION BY PRIVATE SCHOOL CHILDREN AND TEACHERS- Each eligible entity that receives a grant under this section shall provide, to the extent feasible and appropriate, for the participation in programs and activities under this section of students and teachers in private elementary schools and secondary schools.

(h) EVALUATION AND PROGRAM DEVELOPMENT-

(1) STATE AND LOCAL REPORTING AND EVALUATION- Each eligible entity receiving a grant under this section shall submit to the Secretary a comprehensive evaluation of the program assisted under this section, including its impact on students, students with disabilities (including those with mental or physical disabilities), teachers, administrators, parents, and others —

(A) by the end of the second year of the program; and

(B) not later than 1 year after completion of the grant period.

(2) NATIONAL RESEARCH, DISSEMINATION, AND EVALUATION-

(A) IN GENERAL-

(i) AUTHORIZATION- The Secretary is authorized to award grants to, or enter into contracts or cooperative agreements with, State educational agencies or local educational agencies, institutions of higher education, tribal organizations, or other public or private agencies or organizations to carry out research, development, dissemination, technical assistance, and evaluation

activities that support or inform State and local character education programs.

(ii) RESERVATION OF FUNDS- The Secretary shall reserve not more than 5 percent of the funds made available under this section to carry out this paragraph.

(B) USES- Funds made available under subparagraph (A) may be used for the following:

(i) Conducting research and development activities that focus on matters such as —

(I) the extent to which schools are undertaking character education initiatives;

(II) the effectiveness of instructional models for all students, including students with disabilities (including those with mental or physical disabilities);

(III) materials and curricula for use by programs in character education;

(IV) models of professional development in character education;

(V) the development of measures of effectiveness for character education programs (which may include the factors described in paragraph (3)); and

(VI) the effectiveness of State and local programs receiving funds under this section.

(ii) Providing technical assistance to State and local programs, particularly on matters of program evaluation.

(iii) Conducting evaluations of State and local programs receiving funding under this section, that may be conducted through a national clearinghouse under clause (iv).

(iv) Compiling and disseminating, through a national clearinghouse or other means —

(I) information on model character education programs;

(II) information about high quality character education materials and curricula;

(III) research findings in the area of character education and character development; and

(IV) any other information that will be useful to character education program participants nationwide, including educators, parents, and administrators.

(C) PARTNERSHIPS- In carrying out national activities under this paragraph, the Secretary may enter into partnerships with national nonprofit character education organizations and institutions of higher education with expertise and successful experience in implementing —

(i) character education programs that had an effective impact on schools, students, students with disabilities (including those with mental or physical disabilities), and teachers; or

(ii) character education program evaluation and research.

(D) PARTNERSHIP FOR ACTIVITIES UNDER SUBPARAGRAPH (B)(iv)- In carrying out national activities under subparagraph (B)(iv), the Secretary may enter into a partnership with a national nonprofit character education organization that will disseminate information to educators, parents, administrators, and others nationwide, including information about the range of model character education programs, materials, and curricula.

(E) REPORT- Each entity awarded a grant or entering into a contract or cooperative agreement under this paragraph shall submit an annual report to the Secretary that —

(i) describes the entity's progress in carrying out research, development, dissemination, evaluation, and technical assistance under this paragraph;

(ii) identifies unmet and future information needs in the field of character education; and

(iii) if applicable, describes the progress of the entity in carrying out the requirements of subparagraph (B)(iv), including a listing of:

(I) the number of requests for information received by the entity in the course of carrying out such requirements;

(II) the types of organizations making such requests; and

(III) the types of information requested.

(3) FACTORS- Factors that may be considered in evaluating the success of programs funded under this section include the following:

(A) Discipline issues.

(B) Student academic achievement.

(C) Participation in extracurricular activities.

(D) Parental and community involvement.

(E) Faculty and administration involvement.

(F) Student and staff morale.

(G) Overall improvements in school climate for all students, including students with disabilities (including those with mental or physical disabilities).

(i) PERMISSIVE MATCH-

(1) IN GENERAL- The Secretary may require eligible entities to match funds awarded under this section with non-Federal funds, except that the amount of the match may not exceed the amount of the grant award.

(2) SLIDING SCALE- The amount of a match under paragraph (1) shall be established based on a sliding scale that takes into account —

(A) the poverty of the population to be targeted by the eligible entity; and

(B) the ability of the eligible entity to obtain funding for the match.

(3) IN-KIND CONTRIBUTIONS- The Secretary shall permit eligible entities to match funds in whole or in part with in-kind contributions.

(4) CONSIDERATION- Notwithstanding this subsection, the Secretary in making awards under this section shall not consider the ability of an eligible entity to match funds.

[Note: subsections (h)(2) and (i) are not relevant to the current competition.]

APPENDIX II

DEFNINITION OF SCIENTIFICALLY BASED RESEARCH

The Elementary and Secondary Education Act of 1965 as amended by the No Child Left Behind Act of 2001, (P. L. 107-110, TITLE IX, PART A, SEC. 9101 (37))

(37) SCIENTIFICALLY BASED RESEARCH- The term “scientifically based research” —

(A) means research that involves the application of rigorous, systematic, and objective procedures to obtain reliable and valid knowledge relevant to education activities and programs; and

(B) includes research that —

(i) employs systematic, empirical methods that draw on observation or experiment;

(ii) involves rigorous data analyses that are adequate to test the stated hypotheses and justify the general conclusions drawn;

(iii) relies on measurements or observational methods that provide reliable and valid data across evaluators and observers, across multiple measurements and observations, and across studies by the same or different investigators;

(iv) is evaluated using experimental or quasi-experimental designs in which individuals, entities, programs, or activities are assigned to different conditions and with appropriate controls to evaluate the effects of the condition of interest, with a preference for random-assignment experiments, or other designs to the extent that those designs contain within-condition or across-condition controls;

(v) ensures that experimental studies are presented in sufficient detail and clarity to allow for replication or, at a minimum, offer the opportunity to build systematically on their findings; and

(vi) has been accepted by a peer-reviewed journal or approved by a panel of independent experts through a comparably rigorous, objective, and scientific review.

APPENDIX III
FORMS, CERTIFICATIONS, ASSURANCES
AND GEPA 427 STATEMENT

The following forms and statements are required for each application:

- Title Page Form – Application for Federal Education Assistance (ED 424) and Instructions. Two different versions of this form are included in the paper copy of this application package. The information for Item # 4 and Item #8 has been completed.
 - One form is for SEAs (84.215V on Item #4); and
 - One form is for LEAs (84.215S on Item #4):Please make sure your use the correct form for the type of institution that is applying.
- Budget Information Form – Non-Construction Programs (ED 524) and Instructions
- Assurances-Non-Construction Programs (Standard Form 424B)
- Certification Regarding Lobbying; Debarment, Suspension, and Other Responsibility Matters; and Drug-Free Work-Place Requirements (ED Form 80-0013)
- Statement of Equitable Access and Participation. Section 427 of the General Education Provision Act (GEPA 427). See instructions in this application package. NOTE: These instructions are included in the application package and are available on-line at:
<http://www.ed.gov/offices/OCFO/grants/gposbul/gpos10.html>

The following forms are to be used if applicable:

- Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion–Lower Tier Covered Transactions (ED Form 80-0014).
- Disclosure of Lobbying Activities (Standard Form LLL)

APPENDIX IV
INTERGOVERNMENTAL REVIEW OF FEDERAL PROGRAMS
[EXECUTIVE ORDER 12372—SEE ITEM #10 ON ED FORM 424]
Intergovernmental Review of Federal Programs

This appendix applies to each program that is subject to the requirements of Executive Order 12372 (Intergovernmental Review of Federal Programs) and the regulations in 34 CFR part 79.

The objective of the Executive order is to foster an intergovernmental partnership and to strengthen federalism by relying on State and local processes for State and local government coordination and review of proposed Federal financial assistance.

Applicants must contact the appropriate State Single Point of Contact to find out about, and to comply with, the State's process under Executive Order 12372. Applicants proposing to perform activities in more than one State should immediately contact the Single Point of Contact for each of those States and follow the procedure established in each of those States under the Executive order. A listing containing the Single Point of Contact for each State is included in this appendix.

In States that have not established a process or chosen a program for review, State, areawide, regional, and local entities may submit comments directly to the Department.

Any State Process Recommendation and other comments submitted by a State Single Point of Contact and any comments from State, areawide, regional, and local entities must be mailed or hand-delivered by the date indicated in the actual application notice to the following address: The Secretary, EO 12372--CFDA# 84.215V (State educational agency applicants) or 84.215S (Local educational agency applicants), U.S. Department of Education, room 7W301, 400 Maryland Avenue, SW., Washington, DC 20202.

Proof of mailing will be determined on the same basis as applications (see 34 CFR 75.102). Recommendations or comments may be hand-delivered until 4:30 p.m. (Washington, DC time) on the date indicated in the actual application notice.

PLEASE NOTE THAT THE ABOVE ADDRESS IS NOT THE SAME ADDRESS AS THE ONE TO WHICH THE APPLICANT SUBMITS ITS COMPLETED APPLICATION. DO NOT SEND APPLICATIONS TO THE ABOVE ADDRESS.

The list below, prepared by the U.S. Department of Education is an unofficial version of the State Single Point of Contact (SPOC) List published by the Office of Management and Budget (OMB). The Department has made every effort to ensure the accuracy of the information contained in this unofficial version. It reflects those changes made by OMB as of 08/15/01. The only official and up to date version of the State Single Point of Contact (SPOC) List is posted on the Grants Management section of the OMB web site: <http://www.whitehouse.gov/omb/grants/spoc.html>. You may review and/or download the Adobe pdf (portable document format) version of this document at the aforementioned site. Please include this statement in any reproduction of this unofficial list.

You are strongly encouraged to access the Intergovernmental Review (SPOC List) link to the Grants Management Information section of the OMB web page regularly in the course of completing grant applications to be submitted to your designated State Single Point of Contact (SPOC). If you do not have access to the Internet, please use the list below to contact the office or individual listed in order to confirm the State Single Point of Contact (SPOC).

STATE SINGLE POINTS OF CONTACT (SPOCs)

It is estimated that in 2001, the Federal Government will outlay \$305.6 billion in grants to State and local governments. Executive Order 12372, "Intergovernmental Review of Federal Programs," was issued with the desire to foster the intergovernmental partnership and strengthen federalism by relying on State and local processes for the coordination and review of proposed Federal financial assistance and direct Federal development. The Order allows each State to designate an entity to perform this function. Below is the official list of those entities. For those States that have a home page for their designated entity, a direct link has been provided on the official version <http://www.whitehouse.gov/omb/grants/spoc.html>.

States that are not listed on this page have chosen not to participate in the intergovernmental review process, and therefore do not have a SPOC. If you are located within one of these States, you may still send application material directly to a Federal awarding agency.

Contact information for Federal agencies that award grants can be found in Appendix IV of the Catalog of Federal Domestic Assistance. [<http://www.cfda.gov/public/cat-app4-index.htm>]

<p style="text-align: center;">ARKANSAS</p> <p>Tracy L. Copeland Manager, State Clearinghouse Office of Intergovernmental Services Department of Finance and Administration 1515 W. 7th Street, Room 412 Little Rock, Arkansas 72203 Telephone: (501) 682-1074 FAX: (501) 682-5206 tlcopeland@dfa.state.ar.us</p>	<p style="text-align: center;">CALIFORNIA</p> <p>Grants Coordination State Clearinghouse Office of Planning and Research P.O. Box 3044, Room 222 Sacramento, California 95812-3044 Telephone: (916) 445-0613 FAX: (916) 323-3018 state.clearinghouse@opr.ca.gov</p>
<p style="text-align: center;">DELAWARE</p> <p>Charles H. Hopkins Executive Department Office of the Budget 540 S. Dupont Highway , 3rd Floor Dover, Delaware 19901 Telephone: (302) 739-3323 FAX: (302) 739-5661 chopkins@state.de.us</p>	<p style="text-align: center;">DISTRICT OF COLUMBIA</p> <p>Luisa Montero-Diaz Office of Partnerships and Grants Development Executive Office of the Mayor District of Columbia Government 414 4th Street, NW, Suite 530 South Washington, DC 20001 Telephone: (202) 727-8900 FAX: (202) 727-1652 opgd.eom@dc.gov</p>

<p>FLORIDA</p> <p>Jasmin Raffington Florida State Clearinghouse Department of Community Affairs 2555 Shumard Oak Blvd. Tallahassee, Florida 32399-2100 Telephone: (850) 922-5438 FAX: (850) 414-0479 clearinghouse@dca.state.fl.us</p>	<p>GEORGIA</p> <p>Georgia State Clearinghouse 270 Washington Street, SW Atlanta, Georgia 30334 Telephone: (404) 656-3855 FAX: (404) 656-7901 gach@mail.opb.state.ga.us</p>
<p>ILLINOIS</p> <p>Virginia Bova Department of Commerce and Community Affairs James R. Thompson Center 100 West Randolph, Suite 3-400 Chicago, Illinois 60601 Telephone: (312) 814-6028 FAX: (312) 814-8485 vbova@commerce.state.il.us</p>	<p>IOWA</p> <p>Steven R. McCann Division of Community and Rural Development Iowa Department of Economic Development 200 East Grand Avenue Des Moines, Iowa 50309 Telephone: (515) 242-4719 FAX: (515) 242-4809 steve.mccann@ided.state.ia.us</p>
<p>KENTUCKY</p> <p>Ron Cook Department for Local Government 1024 Capital Center Drive, Suite 340 Frankfort, Kentucky 40601 Telephone: (502) 573-2382 FAX: (502) 573-2512 ron.cook@mail.state.ky.us</p>	<p>MAINE</p> <p>Joyce Benson State Planning Office 184 State Street 38 State House Station Augusta, Maine 04333 Telephone: (207) 287-3261 Telephone: (207) 287-1461 (direct) FAX: (207) 287-6489 joyce.benson@state.me.us</p>
<p>MARYLAND</p> <p>Linda Janey Manager, Clearinghouse and Plan Review Unit Maryland Office of Planning 301 West Preston Street – Room 1104 Baltimore, Maryland 21201-2305 Telephone: (410) 767-4490 FAX: (410) 767-4480 linda@mail.op.state.md.us</p>	<p>MICHIGAN</p> <p>Richard Pfaff Southeast Michigan Council of Governments 535 Griswold, Suite 300 Detroit, Michigan 48226 Telephone: (313) 961-4266 FAX: (313) 961-4869 pfaff@semcog.org</p>
<p>MISSISSIPPI</p> <p>Cathy Mallette Clearinghouse Officer Department of Finance and Administration 1301 Woolfolk Building, Suite E 501 North West Street Jackson, Mississippi 39201 Telephone: (601) 359-6762 FAX: (601) 359-6758</p>	<p>MISSOURI</p> <p>Carol Meyer Teresa Kirchhoff Federal Assistance Clearinghouse Office of Administration P.O. Box 809 Truman Building, Room 840 Jefferson City, Missouri 65102 Telephone: (573) 751-4834 FAX: (573) 522-4395 meyerc@mail.oe.state.mo.us kirchhoff@mail.oe.state.mo.us</p>

<p style="text-align: center;">NEVADA</p> <p>Heather Elliott Department of Administration State Clearinghouse 209 E. Musser Street, Room 200 Carson City, Nevada 89701 Telephone: (775) 684-0209 FAX: (775) 684-0260 Helliott@govmail.state.nv.us</p>	<p style="text-align: center;">NEW HAMPSHIRE</p> <p>Jeffrey H. Taylor Director New Hampshire Office of State Planning Attn: Intergovernmental Review Process Mike Blake 2_ Beacon Street Concord, New Hampshire 03301 Telephone: (603) 271-2155 FAX: (603) 271-1728 Jtaylor@osp.state.nh.us</p>
<p style="text-align: center;">NEW MEXICO</p> <p>Ken Hughes Local Government Division Room 201, Bataan Memorial Building Santa Fe, New Mexico 87503 Telephone: (505) 827-4370 FAX: (505) 827-4948 khughes@dfa.state.nm.us</p>	<p style="text-align: center;">NORTH CAROLINA</p> <p>Jeanette Furney Department of Administration 1302 Mail Service Center Raleigh, North Carolina 27699-1302 Telephone: (919) 807-2323 FAX: (919) 733-9571 jeanette.furney@ncmail.net</p>
<p style="text-align: center;">NORTH DAKOTA</p> <p>Jim Boyd Division of Community Services 600 East Boulevard Ave, Dept 105 Bismarck, North Dakota 58505-0170 Telephone: (701) 328-2094 FAX: (701) 328-2308 jboyd@state.nd.us</p>	<p style="text-align: center;">RHODE ISLAND</p> <p>Kevin Nelson Department of Administration Statewide Planning Program One Capitol Hill Providence Rhode Island 02908-5870 Telephone: (401) 222-2093 FAX: (401) 222-2083 knelson@doa.state.ri.us</p>
<p style="text-align: center;">SOUTH CAROLINA</p> <p>Omeagia Burgess Budget and Control Board Office of State Budget 1122 Ladies Street – 12th Floor Columbia, South Carolina 29201 Telephone: (803) 734-0494 FAX: (803) 734-0645 aburgess@budget.state.sc.us</p>	<p style="text-align: center;">TEXAS</p> <p>Denise S. Francis Director, State Grants Team Governor's Office of Budget and Planning P.O. Box 12428 Austin, Texas 78711 Telephone: (512) 305-9415 FAX: (512) 936-2681 dfrancis@governor.state.tx.us</p>
<p style="text-align: center;">UTAH</p> <p>Carolyn Wright Utah State Clearinghouse Governor's Office of Planning and Budget State Capitol, Room 114 Salt Lake City, Utah 84114 Telephone: (801) 538-1535 FAX: (801) 538-1547 cwright@gov.state.ut.us</p>	<p style="text-align: center;">WEST VIRGINIA</p> <p>Fred Cutlip, Director Community Development Division West Virginia Development Office Building #6, Room 553 Charleston, West Virginia 25305 Telephone: (304) 558-4010 FAX: (304) 558-3248 fcutlip@wvdo.org</p>

WISCONSIN Jeff Smith Section Chief, Federal/State Relations Wisconsin Department of Administration 101 East Wilson Street – 6 th Floor P.O. Box 7868 Madison, Wisconsin 53707 Telephone: (608) 266-0267 FAX: (608) 267-6931 jeffrey.smith@doa.state.wi.us	AMERICAN SAMOA Pat M. Galea'i Federal Grants/Programs Coordinator Office of Federal Programs Office of the Governor/Department of Commerce American Samoa Government Pago Pago, American Samoa 96799 Telephone: (684) 633-5155 Fax: (684) 633-4195 pmgaleai@samoatelco.com
GUAM Director Bureau of Budget and Management Research Office of the Governor P.O. Box 2950 Agana, Guam 96910 Telephone: 011-671-472-2285 FAX: 011-671-472-2825 jer@ns.gov.gu	PUERTO RICO Jose Caballero / Mayra Silva Puerto Rico Planning Board Federal Proposals Review Office Minillas Government Center P.O. Box 41119 San Juan, Puerto Rico 00940-1119 Telephone: (787) 723-6190 FAX: (787) 722-6783
NORTHERN MARIANA ISLANDS Ms. Jacoba T. Seman Federal Programs Coordinator Office of Management and Budget Office of the Governor Saipan, MP 96950 Telephone: (670) 664-2289 FAX: (670) 664-2272 omb.jseman@saipan.com	VIRGIN ISLANDS Ira Mills Director, Office of Management & Budget # 41 Norre Gade Emancipation Garden Station, Second Floor Saint Thomas, Virgin Islands 00802 Telephone: (340) 774-0750 FAX: (787) 776-0069 irmills@usvi.org

Changes to this list can be made only after OMB is notified by a State's officially designated representative. E-mail messages can be sent to grants@omb.eop.gov. If you prefer, you may send correspondence to the following postal address:

Attn: Grants Management
Office of Management and Budget
New Executive Office Building, Suite 6025
725 17th Street, NW
Washington, DC 20503

Please note: Inquiries about obtaining a Federal grant should not be sent to the OMB e-mail or postal address shown above. The best source for this information is the Catalog of Federal Domestic Assistance (CFDA) [<http://www.cfda.gov/>].